SEC Form 3 FORM 3

# UNITED STATES SECURITIES AND EXCHANGE

COMMISSION

Washington, D.C. 20549

## **INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES**

OMB APPROVAL

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Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934 or Section 30(h) of the Investment Company Act of 1940

1. Name and Address of Reporting Person <sup>*</sup> Gutwerg Ori	2. Date of Event Requiring Statement (Month/Day/Year) 02/15/2021 3. Issuer Name <b>and</b> Ticker or Trading Symbol <u>ANI PHARMACEUTICALS INC</u> [ ANIP ]							
(Last) (First) (Middle) C/O ANI PHARMACEUTICALS, INC. 210 MAIN STREET WEST (Street) BAUDETTE MN 56623 (City) (State) (Zip)			Issuer	ationship of Reporting ( all applicable) Director Officer (give title below) SVP, GENE	10% C Other below)	wner (specify	iled (Month/Day Individual or Jo Check Applicable X Form filed Person	int/Group Filing e Line) by One Reporting by More than One
Table I - Non-Derivative Securities Beneficially Owned								
1. Title of Security (Instr. 4)			Beneficially Owned (Instr. Form		3. Owne Form: D (D) or II (I) (Inst	Direct Ownership (Instr. 5) ndirect		
Table II - Derivative Securities Beneficially Owned   (e.g., puts, calls, warrants, options, convertible securities)								
, , , , , , , , , , , , , , , , , , ,	2. Date Exercisable and Expiration Date (Month/Day/Year)		3. Title and Amount of Se Underlying Derivative Se (Instr. 4)			4. Conversion or Exercise	ise Form:	6. Nature of Indirect Beneficial Ownership (Instr. 5)
	Date Expiratio Exercisable Date		Title	Title		Price of Derivative Security	Direct (D) or Indirect (I) (Instr. 5)	

**Remarks:** 

No securities are beneficially owned.

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#### /s/ Ori Gutwerg

02/17/2021

\*\* Signature of Reporting Person

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

\* If the form is filed by more than one reporting person, see Instruction 5 (b)(v).

\*\* Intentional misstatements or omissions of facts constitute Federal Criminal Violations See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB Number.

### Date